

01-15-02

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BAKER BOTTS LLP

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UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	AP33681 -- 070939.0365
First Inventor	Stein et al.
Title	System and Method * see attached
Express Mail Label No.	EF321680718US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 22]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description

Claim(s) [Total Sheets 8]

Abstract of the Disclosure [Total Sheets 1]

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 6]

5. Oath or Declaration [Total Pages 37]

- a. Newly executed (original or copy)
- b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

- a. Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney

10. English Translation Document (if applicable)

11. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

12. Preliminary Amendment

13. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

14. Certified Copy of Priority Document(s) (if foreign priority is claimed)

15. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

16. Other:

17. Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No _____

Prior application information Examiner _____ Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	21003 (Insert Customer No. or Attach bar code label here)	or	<input type="checkbox"/> Correspondence address below
Name			
Address			
City	State	Zip Code	
Country	Telephone		Fax

Name (Print/Type)	Jeffrey Sullivan	Registration No. (Attorney/Agent)	43,170
Signature	Jeffrey D. Sullivan		Date 10/26/01

11002 U.S. PTO
10/26/01

Addendum Sheet 1***Question 4 Addendum**4.a. Drawings are formal informal*** Question 5 Addendum**5.c. An unsigned oath or declaration is included.*** Question 8 Addendum**8.d. A sequence submission will follow.*** Question 9 Addendum**9.a. Assignment documents will follow.9.b. Assignment documents have been filed in parent application No.*** Question 11 Addendum**11.a. English translation will follow.*** Question 12 Addendum**12.a. Copies of IDS citations will follow.*** Question 15 Addendum**15.a. Certified copies of priority documents will follow.15.b. Certified copies of priority documents have been filed in parent application No.

Use the space below for additional information

Title (continued):

System and Method for Estimating Cash Flow At Risk for a Non-financial Institution

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Att Docket #: AP33681 -- 070939.0365

Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No. _____

Prior application information

Examiner _____

Group Art Unit _____

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No. _____

Prior application information

Examiner _____

Group Art Unit _____

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP)

of prior application No. _____

Prior application information

Examiner _____

Group Art Unit _____

Amend the specification by inserting before the first line the sentence(s)

"This application is a Continuation Divisional Continuation-in-part (CIP) of:

"This application is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein,

which is a Continuation Divisional Continuation-in-part (CIP) of:

which is based upon:

 prior application No.: _____, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: _____

Serial No: _____

Filing Date: _____

Country: _____

Serial No: _____

Filing Date: _____

Country: _____

Serial No: _____

Filing Date: _____

Provisional Applications:

Serial No: 60/243,460

Filing Date: 10/26/00

Serial No: _____

Filing Date: _____

Serial No: _____

Filing Date: _____

CERTIFICATION UNDER 37 C.F.R. 1.8(a) OR 1.10*

(When using Express Mail, the Express Mail label number is mandatory; Express Mail Certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

37 C.F.R. 1.8(a)

37 C.F.R. 1.10*

with sufficient postage as first class mail.

as "Express Mail Post Office to Address"
Mailing Label No. EF 321 680 718 US (mandatory)

Jeffrey Sullivan
Signature

Date: 10/26/01

Jeffrey Sullivan

(type or print name of person certifying)

***WARNING:** *Each paper office filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing 37 C.F.R. 1.10(b).*

"Since the filing of correspondence under § 1.10 without the Express Mail label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. "Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.